

CP-3727

Practitioner's Docket No. PACFI-001C1

PATENT

#3
GWH 3/9/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

of PAUL H. BENNETT, ET AL.

Inventor(s)

for TAMPER-EVIDENT CONTAINER CLOSURE

Title of invention

OR

In re application of: PAUL H. BENNETT, ET AL.Application No.: 09/440,903 Group Art Unit: 3727Filed: November 16, 1999 Examiner: UnknownFor: TAMPER-EVIDENT CONTAINER CLOSUREAssistant Commissioner for Patents
Washington, D.C. 20231

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))

NOTE: "An information disclosure statement shall be considered by the Office if filed by the applicant: (1) within three months of the filing date of a national application; (2) within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; or (3) before the mailing date of a first Office action on the merits, whichever event occurs last." 37 C.F.R. § 1.97(b).

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. § 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 1/10/99

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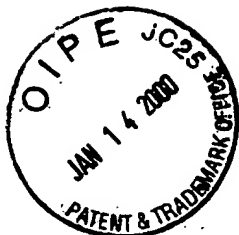
☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Trista Dunn

(type or print name of person certifying)

(Transmittal of Information Disclosure Statement Within Three Months of Filing or Before Mailing of First Office Action [6-3]—page 1 of 2)



NOTE: The "filing date of a national application" under 37 C.F.R. § 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark Office, the filing is defined in 37 C.F.R. § 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. § 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the basic national fee; (2) a copy of the international application, unless already sent by the International Bureau, and optionally an English translation if filed in another language; and, also optionally (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. The optional items must be submitted later, with surcharges. 37 C.F.R. § 1.97(b)(2).

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. § 1.97(b).

NOTE: "No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."

NOTE: "An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An Office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

WARNING: "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. § 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).

Date: 1/10/00


SIGNATURE OF PRACTITIONER

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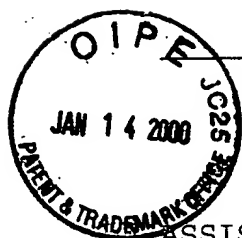
Laguna Hills, CA 92653-3642

(Transmittal of Information Disclosure Statement Within Three Months of Filing or Before Mailing of First Office
Action [6-3]—page 2 of 2)

Case PACFI-001C1
CON Patent Appln.
Certificate of Mailing:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Paul H. Bennett, et al.)
Serial No.: 09/440,903) Art Unit: 3727
Filed: November 16, 1999) Examiner: Unknown
For: TAMPER-EVIDENT CONTAINER CLOSURE)



INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 CFR SECTION 1.97

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON D C 20231

Dear Sir/Madam:

Pursuant to 37 CFR Section 1.97 (as amended on March 16, 1992) the following Information Disclosure Statement is submitted as listed on form PTO-1449 enclosed herewith in duplicate. Copies of all disclosure documents marked were previously provided by Applicant(s) or were otherwise made of record during prosecution of U.S. Patent Application Serial No. 09/014,075 which is a **parent application**.

No representation is made that the references listed herein legally constitute prior art, or that more relevant references are not available. The disclosure documents listed on the attached form PTO-1449 are printed in the English language and/or accompanied by an Abstract published in the English language.

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Applicant(s): Paul H. Bennett, et al.
Serial No.: 09/440,903
Art Unit: 3737

The reference(s) listed herein, when taken alone or in combination, are not believed to disclose nor make obvious the invention as claimed in the subject application.

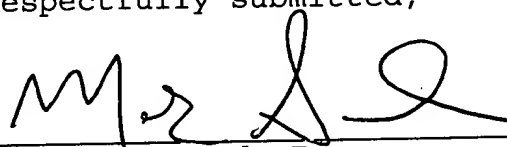
As this Information Disclosure Statement is being submitted before the stipulated three months from the filing date of the application and/or before the mailing of a first Office Action, it is believed that no fee is required. If a fee is required, please charge Account Number 19-4330. This Statement is being transmitted herein in triplicate.

Respectfully submitted,

Dated: 1/10/00

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By:


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